

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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| In re application of: | Cale T. Rath, et al. | : | Date: January 29, 2004 |
| Group Art Unit: | Unassigned | : | IBM Corporation |
| Examiner: | Unassigned | : | Intellectual Property Law |
| Serial No.: | Unassigned | : | Dept. 917, Bldg. 006-1 |
| Filed: | Herewith | : | 3605 Highway 52 North |
| Title: | RELATIONAL TO HIERARCHICAL TREE DATA CONVERSION TECHNIQUE | : | Rochester, MN 55901-7829 |

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicants request that the information listed on the attached Form PTO/SB/08A be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

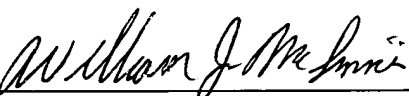
Serial No.: Unassigned
Docket No.: ROC920030275US1

PATENT

This Information Disclosure Statement is being filed under 37 C.F.R. §1.97(b)(1) within three months of the filing date of the present application. Accordingly no filing fee is required.

Date: January 29, 2004

Respectfully submitted,

By 

William J. McGinnis, Counsel
Registration No. 25,698

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PTO/SB/08A

Application Number.:

Unassigned

Filing Date:

Jan. 29, 2004**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

First Named Inventor:

C. T. Rath

Art Unit:

Unassigned

Examiner Name:

UnassignedSheet 1 of 2

Attorney Docket Number.:

ROC920030275US1**U.S. PATENT DOCUMENTS**

| Examiner Initials* | Cite No. ¹ | <u>Document Number</u> Number - Kind Code ² (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns or Lines Where Relevant Passages or Figs. Appear |
|-----------------------|--------------------------|---|--------------------------------|---|--|
| | | US - 6,519,603 B1 | 02-11-2003 | Bays, et al. | |
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FOREIGN PATENT DOCUMENTS

| Examine r Initials | Cite No. ¹ | <u>Foreign Patent Document</u> Country ³ - Number ⁴ - Kind Code ⁵ Code (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns or Lines Where Relevant Passages or Figs. Appear | T ⁶ |
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| Examiner Signature | | Date Considered | |
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language translation is attached.

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

Sheet 2 of 2

Application Number.: Unassigned
 Filing Date: Jan. 29, 2004
 First Named Inventor: C. T. Rath
 Art Unit: Unassigned
 Examiner Name: Unassigned
 Attorney Docket Number.: ROC920030275US1

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

| Examiner Initials | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and or country where published. | T ² |
|----------------------|--------------------------|---|----------------|
| | | Chatterjee et al., IBM Patent Application Serial No. 10/600,014 (ROC920030209US1), filed 06/20/2003, "Universal Annotation Management System". | |
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